

MEM-CL-Lock-in Appeals

Purpose:

Per the Iowa Administrative Code 441- Chapter 7, member has the right to appeal a Lock-in decision within 90 days of the date on the Notice of Decision (NOD). The member must contact the local Department of Human Services (DHS) and file a written appeal. The NOD explains the appeal rights and instructions on how to file an appeal.

Identification of Roles:

- **Clinical Manager-** Receives appeal requests from the Department of Human Services (DHS) and forwards to the appropriate Health Educator/Coordinator. The Clinical Manager may provide testimony when necessary.
- **Lock-in (LI) Coordinator** – Compiles appeal packet and information for testimony for appeal hearing. Works with the Office of the Administrative Law Judge (ALJ) to coordinate the hearing date and time.
- **Clinical Peer Reviewer** – Provides testimony for the reason for the Lock-in decision during the appeal hearing when clinical testimony is needed.

Performance Standards:

NA

Path of Business Procedure:

Step 1: The Clinical Manager will receive the notice of appeal from the Department of Human Services (DHS).

Step 2: The Clinical Manager will forward the request to the Coordinator for research and appeal hearing preparation.

Step 3: The Clinical Manager will then receive the Appeal and Request for Hearing form indicating the hearing date, the ALJ name, and time of hearing.

Step 4: The LI Coordinator schedules a conference room for the date and time the Appeal Hearing is scheduled.

Step 5: The LI Coordinator will compile the appeal packet for the Clinical Manager to review prior to the Appeal hearing. The packet must include:

- a. Overview of Lock-in Program
- b. Case Summary
 1. List of providers utilized during time frame reviewed
 2. List of pharmacies utilized during time frame reviewed
 3. List of hospitals utilized during time frame reviewed
 4. List of medications & duplication by classification
 5. Drug categories of prescriptions
- c. Medicaid Claims Details (pharmacy and provider)
- d. Copies of all education letters mailed to the member (if available)
- e. Copy of letter 29- Notice of Decision, notifying member of Lock-in decisionCopy of Iowa Administrative Code 441, Chapter 76.9
- f. Lock-in screening criteria
- g. Formal Scheduling (Drug Enforcement Administration)
- h. Copy of additional correspondence/contact details with member
- i. Description of Medication list

Step 6: The LI Coordinator will upload the appeal documents into the appeal website under the appropriate appeal case number.

Step 7: The LI Coordinator will document the appeal related activity in C3 in the notes section.

Step 8 The LI Coordinator and the supervisor/manager will attend the appeal hearing

Step 9: If the decision is upheld or modified, the LI Coordinator will continue the Lock-in process.

Step 10: If the decision is reversed and the Administrative Law Judge rules the member should be removed from Lock-in;

- a. The LI Coordinator will close the case by entering the closed date in C3 and the reason why the case is being closed in the notes section.
- b. The LI Coordinator will email state support staff to remove all Lock-in providers from the Social Services Number Information (SSNI).
- c. The LI Coordinator will email support staff to have the member removed from Lock-in from MMIS.

Step 11: Document the outcome of the appeal in the appeals summary folder at \\Dhsime\memsrv\Appeal_Summaries

Forms/Reports:

NA

RFP References:

6.5.6

Interfaces:

SSNI

MMIS

C3

Data Warehouse

Attachments:

NA